Making a compliant

A guide for clients

How to complain

This leaflet explains the complaints procedures of the Sarasin UK group of companies, which are Sarasin & Partners LLP, Sarasin Investment Funds Limited, and Sarasin Asset Management Limited (Sarasin). Each firm is authorised and regulated by the Financial Conduct Authority (the FCA) and our complaints handling procedures are governed by FCA rules and regulations.

At Sarasin, we are committed to delivering fair outcomes and providing products and services that meet your expectations. However, if you feel that we have fallen short in any way, we encourage you to let us know. This gives us the opportunity to put things right, learn from your experience and continuously improve the services we provide. You may submit a complaint in writing by email, letter or fax, by telephone or in person. In accordance with our complaints handling procedures, we will seek to resolve your complaint promptly and efficiently at all stages of the process.

Step 1

You may address your complaint to your normal Sarasin relationship manager. Alternatively, if you would prefer to address your complaint to someone other than the person you have been dealing with, or if you are an investor in a fund managed by Sarasin Investment Funds, you may contact:

Richard Jocelyn
Head of Compliance
Compliance Department
Sarasin & Partners LLP
50 George Street
London W1U 7DY
United Kingdom

T: +44 (0) 20 7038 7000
E: compliancelondon@sarasin.co.uk

All telephone calls regarding your complaint will be charged at the basic rate.

Please give as much detail as you are able and if possible, include any relevant documents in support of your complaint.

Step 2

You should expect to receive an acknowledgement letter from us within five working days from the date we received your complaint. The written acknowledgement will contain the name of the person dealing with your complaint and an indication of when we expect to provide you with a full response to your complaint.

Where we reasonably expect to resolve your complaint in full within three working days, we may not issue a separate written acknowledgement.

Step 3

After sending you an acknowledgement letter, your concern will be fully investigated. The investigation will involve a full assessment of your complaint according to our internal complaint handling guidelines and will be conducted within the timeframe set out in your acknowledgement letter. We will attempt to provide you with a full response addressing all your concerns and a full written account of our investigation with conclusions.

If we are not in a position to provide a final response within the expected timeframe, we will send you a written update explaining the reasons for the delay and indicating when we expect to issue our final response. In all but exceptional circumstances, this will be no later than eight weeks from the date we received your complaint. If you do not receive a reply from you to our final response this does not affect your right to refer the complaint to the Financial Ombudsman Services (FOS) or any of your other legal rights.

Step 4

We hope that by this stage we would have handled your complaint to your satisfaction.

Should you remain dissatisfied you have the option to refer the matter to the UK Financial Ombudsman Service (FOS) which will independently investigate your complaint. The FOS is an ombudsman scheme that allows consumers or professional clients or eligible counterparties (where the person is an individual acting for purposes outside their trade, business, craft or profession) “Eligible Complainants” access to an independent complaint’s adjudicator. Please refer to the website below for further information.

Please note that for your complaint to be considered by the FOS, you must usually refer the complaint to the FOS within 6 months from the date of our final response. However, dependent on the circumstances of your complaint, we may at our discretion waive 6-month time limit.

The FOS contact details:

T: 0800 023 4567 or +44 20 7964 1000 if you are calling from outside the UK.

E: complaint.info@financial-ombudsman.org.uk

www.financial-ombudsman.org.uk

Important information

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London, W1U 7DY

020 7038 7000
sarasinandpartners.com

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